

REGIONAL CATASTROPHIC PREPAREDNESS GRANT PROGRAM (RCPPGP)

INVESTMENT JUSTIFICATION PACKAGE:
COMPETITIVE AND NON-COMPETITIVE AWARDS



U.S. Department of
Homeland Security

RCPGP Background

The Regional Catastrophic Preparedness Grant Program (RCPGP) is intended to enhance regional catastrophic preparedness and continuity of operations efforts, with the aim of strengthening the Nation against risks associated with catastrophic events. The RCPGP centers on the highest risk Urban Areas and surrounding regions, where its impact will have the most significant effect on our collective security and resilience. Each site eligible for participation in the RCPGP, designated as the RCPGP site, includes a collection of jurisdictions that must work collaboratively to fulfill the program requirements.

The RCPGP initiative is provided in response to the direction by Congress to develop “all-hazard regional catastrophic event plans and preparedness” for UASI urban areas and participating governments. The goal of this program is to allow jurisdictions to determine how to improve their security and resilience through a process best described as “*Fix, Build, and Resource*” – that is, *fix* shortcomings in existing plans; *build* regional planning processes and planning communities; and, link operational needs identified in plans to *resource* allocation, including homeland security grant programs.

Document Title: Investment Justification Package: Competitive and Non-Competitive Awards

Purpose and Audience

This MS Word document contains the instructions and template for the investment justification package, including the competitive and non-competitive RCPGP investment justification. These instructions expand on and clarify the original instructions provided in the RCPGP Guidance and Application Kit released on February 1, 2008. The investment justification instructions and template in this document replace those released in the RCPGP Guidance and Application Kit.

The Regional Catastrophic Planning Team (RCPT) may submit a maximum of two investment justifications per RCPGP site, one for competitively awarded monies and one for non-competitively awarded monies. To be considered for award, the RCPGP investment justification(s) must be accompanied by all grant materials specified in the *Instructions* section and submitted to grants.gov as a single investment justification package under Catalog of Federal Domestic Assistance (CFDA) number 97.111.

Content

Key topics covered in this document include:

- Overview
 - Submission
 - Further Assistance
- Instructions: Completing an Investment Justification Package
 - Standard Forms
 - Membership List
 - Overview, Background, and Hazard Analysis/Risk Identification Sections
 - Project Summary and Project Management Sections
- Attachment: Investment Justification Template

OVERVIEW

The RCPT must submit an investment justification to DHS on or before May 1, 2008 to apply for and receive RCPGP funds. The Regional Catastrophic Planning Team (RCPT) may submit a maximum of two investment justifications per RCPGP site, one for competitively awarded monies and one for non-competitively awarded monies. This document provides instructions and a template for both investment justification types. When combined with standard federal grant application forms and a RCPT membership list, the investment justification constitutes a complete investment justification package. DHS uses the investment justification package to make grant award decisions and inform programmatic decisions.

In addition to explaining how the RCPT will use RCPGP funds, the investment justification package leads the RCPT through the RCPGP planning process. The RCPT must show how selected catastrophic planning projects support the goals, objectives, and three-year targets identified in the National Preparedness Guidelines, relevant State/Urban Area Homeland Security Strategies, and the State Preparedness Report.

Submission

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is “*Regional Catastrophic Preparedness Grant Program*.” The CFDA number is **97.111**. Once Central Contractor Registration (CCR) is confirmed, submit completed investment justifications along with all other required documents to DHS via grants.gov by **11:59 PM EST on May 1, 2008**. The primary SAA, as designated by the RCPT, is the only entity eligible to submit the documents.¹ Note: When completing the on-line application, applicants should identify their submission as a new, non-construction application.

A complete investment justification package includes the following required forms and submissions, uploaded to grants.gov as separate Adobe .pdf or MS Word files:

- ☐ Non-competitive investment justification (required)
- ☐ Competitive investment justification (required if applying for competitively awarded funds)
- ☐ RCPT membership list, to include each member’s name, jurisdiction, professional title and discipline(s)
- ☐ Standard Form 424, Application for Federal Assistance
- ☐ Standard Form 424A, Budget Information
- ☐ Standard Form 424B Assurances
- ☐ Standard Form LLL, Disclosure of Lobbying Activities
- ☐ Certification Regarding Debarment, Suspension, and Other Responsibility Matters

Prior to submission, save the membership list, competitive investment justification, and non-competitive investment justification as MS Word files (version 2003 or earlier) using the following naming conventions:

RCPPG Investment Justification_Competitive_Site Name.doc
RCPPG Investment Justification_Non-Competitive_Site Name.doc
RCPT Membership List_Site Name.doc

Further Assistance

For additional guidance, please contact the Centralized Scheduling and Information Desk (CSID) at asksid@dhs.gov or 1-800-368-6498. Additional information on RCPGP is also available at <http://www.fema.gov/government/grant/rcp/index.shtm>.

¹ *RCPT Roles and Responsibilities* provides additional information on the primary SAA and submission of the grant application. This document, or any other RCPGP guidance document, may be requested from CSID.

INSTRUCTIONS: COMPLETING AN INVESTMENT JUSTIFICATION PACKAGE

A complete investment justification package consists of one optional and seven required forms. This section describes each form, its purpose, and instruction for completion.

Standard Forms

To streamline the grants application process, the federal government has created the following standard forms. Each form and its instructions can be found at www.grants.gov. One copy of each form should be completed and submitted along with the RCPT membership list, non-competitive investment, and the optional competitive investment justification.

Name	Description
SF-424, Application for Federal Assistance	Cover sheet for discretionary grant applications. An asterisk designates required fields.
SF-424A, Budget Information	Budget information template for non-construction grant programs.
SF-424B, Assurances	Assurances for non-construction grant programs to include legal authority to apply for federal assistance, compliance with relevant Federal laws, executive orders, regulations and policies governing the program.
SF-LLL, Disclosure of Lobbying Activities	Form to record lobbying activities pursuant to 31 U.S.C. 1352.
Certification Regarding Debarment, Suspension, and Other Responsibility Matters	Form to certify that the applicant has not been barred, suspended, or otherwise excluded from participating in the transaction (i.e., submission of the grant application) and will not knowingly involve a third party in the transaction that has been barred, suspended, or otherwise excluded from participating in the same transaction.

RCPT Membership List

Submit a detailed membership list in table format with the name, jurisdiction, professional title, and discipline(s) of each RCPT member.

Investment Justification(s): Competitive and Non-Competitive

Applicants must complete a separate investment justification for the competitive and non-competitive portions of the RCPGP grant monies designated in the *RCPGP Guidance and Application Kit*. Each investment justification consists of five sections.

Overview, Background, and Hazard Analysis/Risk Identification Sections

The Overview, Background, and Hazard Analysis/Risk Identification Sections provide DHS with background information related to the RCPGP site, a brief description of the proposed project(s), and the use of hazard/risk analyses in developing the investment justification. These sections are structured like a form, with specific questions and designated areas for response. The answers given in sections 1 – 3 may vary between the competitive and non-competitive investment justifications. Detailed instructions for these sections have been inserted into the attached template.

Project Summary and Project Management Sections

The Project Summary and Project Management Sections provide DHS with additional information about the proposed projects. Section 4, the Project Summary, provides an overview of all proposed projects in the context of catastrophic planning. Section 5 contains basic project management plans for each

proposed project, to include start- and end-dates, scope statements, projected costs, milestones, and project risk mitigation strategies.

Sections 4 and 5 are free-form sections to allow the RCPT maximum flexibility in the planning and presentation of proposed projects. Each section must contain basic information listed in the table below, but the format and length of each response is at the discretion of the RCPT. Placeholders have been inserted into the attached template to indicate where each section should be addressed.

Project Summary and Project Management Section Requirements	
Project Summary (Section 4)	<p>Note: Summarize all proposed projects when addressing each topic.</p> <ul style="list-style-type: none"> • Catastrophic Planning Overview • State, regional, Tribal, and local coordination efforts • Cost-share requirements
Project Management (Section 5)	<p>Note: Subdivide this section by project with each of the following topics addressed under each sub-section.</p> <ul style="list-style-type: none"> • Project name • Project number (e.g., project 2 of 5) • Estimated project cost • Planned start- and end-date • Project scope statement • Project milestones • Project leadership team and key resources • Project risk identification and management

Instructions for each requirement are summarized below.

Catastrophic Planning Overview

Provide an overview of the catastrophic planning projects that will be implemented using RCPGP funds. At a minimum, the overview must include the following information for all identified projects:

- How the projects complement ongoing or previously funded planning projects.
- How the projects, when combined with existing efforts, improve the RCPGP site's catastrophic incident preparedness for all threats and hazards.
- How the identified projects correct shortcomings identified in reports on catastrophic planning (e.g., Hurricane Katrina After Action Reporting or the 2006 Nationwide Plan Review, the FYI 2007 FEMA-led Gap Analysis, or Congressional requirements).
- How each project is consistent with available national planning guidance and the goals, objectives, and targets identified in relevant State/Urban Area Homeland Security Strategies and the State Preparedness Report(s).
- How each project incorporates or builds on *prevention* and *protection* mission area activities to ensure a continuum of preparedness.

State, Regional, Tribal, and Local Coordination Efforts

Describe how the activities will be coordinated with relevant State, local, regional, and Tribal authorities. In addition, include coordination between private sector representatives, critical infrastructure owners and operators, and Citizen Corps Council representatives².

² RCPT Roles and Responsibilities provides a list of entities required for coordination.

25 Percent Cost Share Requirement

Describe how the 25 percent cost share requirement of non-federal funds (cash or “in-kind”) will be met. Non-competitive investment justifications can spread the 25 percent cost share requirements unevenly across projects. Competitive investment justifications, however, must account for 25 percent of each proposed project to ensure that cost share requirements can be met if only one project is funded.

Project Name

Create and provide a unique title for the proposed project.

Project Number

In the event that multiple projects are proposed in the investment justification, assign a project number and identify the project as “Project X of Y.” For example, if the RCPGP site is submitting two projects, indicate the project number in the following format: *Project 1 of 2*

Estimated Project Cost

Include an estimated cost for the proposed project. Per the RCPGP Guidance and Application Kit, allowable costs include planning, personnel, and management and administration.

The sum of estimated project costs for all proposed non-competitive projects should equal the amount specified in the RCPGP Guidance and Application Kit. Within each investment justification, the sum of estimated costs for all proposed projects cannot exceed the amount specified in the RCPGP Guidance and Application Kit the respective application type.³ Competitive awards will be made to one or two projects within each RCPGP site category.⁴ Sites may choose how many projects to submit through the competitive process and decide whether to apply for a portion or all of the available grant funds.

Start Date & End Date

Indicate the start and end date of the proposed project. Projects must start and end within the grant’s 24-month period of performance.

Project Scope Statement

Outline the scope statement for each proposed project. Scope statements briefly state what the project’s objective is in terms of desired outcomes and final products. The statement should describe all of the work required, and only the work required, to complete the project successfully. A strong scope statement should be precise and use action verbs (e.g., develop, deliver, select). Applicants may supplement the project scope statement with a work breakdown structure if they choose. The scope statement and work breakdown structure will become the basis for measuring project success.

Key Milestones

Outline the project’s key milestones, including start and end dates. Milestones are used to track the project’s progress. Key milestones collectively present significant events in the project, usually a major deliverable or critical decision. In larger projects, a milestone often marks the completion of a phase of the project, which includes completion of a set of multiple deliverables and/or decisions.

There is no correct number of milestones; having too few or too many can dilute their value as communication points. Ensure there are enough milestones to gauge whether or not the project is proceeding as planned at major intervals.

³ For specific regional grant awards, refer to the *RCPGP Guidance and Application Kit* available online at www.fema.gov/grants

⁴ As explained in the RCPGP Guidance and Application Kit, RCPGP sites are divided into two categories. Category 1 sites include: New York/Northern New Jersey, Chicago Area, Bay Area, Los Angeles /Long Beach Area, Houston Area, and National Capital Region. Category 2 sites include: Boston Area, Seattle Area, Norfolk Area, and Honolulu Area.

Project Leadership Team and Key Resources

Describe, at a high-level, the roles and responsibilities of the management team, governance structures, and subject matter expertise required to manage the project. If the management team is the same as in other investments, the response explains why this is appropriate.

Also, include a high-level description of the roles and responsibilities of key resources outside of the project leadership team. For example, key resources may be emergency management subject matter experts, representatives of public utilities, or technical resources that are critical for the success of the project.

Risk Identification and Risk Management

Identify and describe project-related risks. These risks threaten the effective implementation of this project in terms of cost, schedule, or quality.

Common examples of project risks include:

- Scope creep (i.e., unplanned expansion in the size of the project)
- Delayed decisions (i.e., a key decision-maker is unavailable or slow to respond)
- Resource imbalances (e.g., too few resources cause slips in schedule, too many increase overhead)
- Coordination of many stakeholders with varied interests (i.e., it can be difficult to schedule large meetings if everyone is not invested in the outcome)
- Underestimation of project costs
- Reliance on a small number of vendors without cost controls
- Inability to secure key resources for project management team or other subject matter experts

For each risk identified include an assessment of its probability of occurrence and the level of impact should the project risk occur. At a minimum, indicate the probability as *high*, *medium*, or *low*. For the level of impact, describe at a high level the projected impact to the success of the identified risk

In addition, describe the risk management strategy to handle each identified risk. Each risk can be managed with the following four strategies; select the strategy that is most capable of managing the identified risk.

- **Accept:** In the event the risk occurs, the project leadership team may choose to accept the impact of the risk. Before selecting this strategy, ensure the primary impacts of the risk are clearly understood (e.g., delays of related deliverables or projects). Acceptance is an appropriate strategy when risks are small and the impact of all other strategies outweighs that of retaining the risk.
- **Avoid:** To prevent the risk from occurring the project leadership team may choose to avoid the impact by changing plans. For example, the deliverable or necessary task that causes the risk may be removed from the project plan. Avoidance may appear to be beneficial, but consider the loss of potential gain, by removing the deliverable or task.
- **Mitigate:** Creating a mitigation strategy involves taking immediate steps to reduce the impact of the identified risk. Identify what extra steps can be taken to mitigate the impact of the identified risk and describe each briefly.
- **Transfer:** Transferring risk involves sending the risk to a third party. In some cases, certain groups will be better equipped to handle a given risk or be able to accept the impact. For example, fire representatives are better equipped to handle the risk of fire and are a logical choice for the transfer of the identified risk.

ATTACHMENT: Investment Justification Template

SECTION 1: OVERVIEW

Purpose: Provide basic information on the applicant, geography, and projects.

State Name (Of the Primary SAA):

<< Select State Name >>

RCPGP Site Name:

<< Select Site Name >>

Investment Justification Type (Check one):

☐ Competitive

☐ Non-competitive

Geographical Area:

Describe the geographic area this investment justification covers. RCPGP sites may discuss with FEMA National Preparedness Directorate Headquarters(FEMA NPD HQ) the possibility of shrinking or realigning the RCPGP site's footprint described in the RCPGP Guidance and Application Kit to better support existing catastrophic planning activities. The site must present a strongly compelling reason in writing to FEMA NPD HQ and receive approval of this adjustment prior to submittal of the investment justification. Plans to alter the geographic footprint will be closely reviewed by DHS to ensure the RCPT is able to meet RCPGP grant program objectives.

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SECTION 1: OVERVIEW (CONTINUED)**Project Focus:**

Provide an overview of each project associated with this investment justification. The project overviews should include the project title and a short description of the type of project and its expected accomplishments. Specific project details, including milestones and key activities, should be included in Section 5: Project Management.

<< Insert Text Here >>

SECTION 2: BACKGROUND

Purpose: Describe which regional partners will be included in implementing the projects outlined in this investment justification and the site's current regional planning effort.

Regional Catastrophic Planning Team (RCPT) Overview:

Provide an overview of the RCPT structure, including number of members, agencies and jurisdictions represented, and voting rights. Submit the RCPT membership list as part of the investment justification package. A copy of the RCPT charter is not required as part of the investment justification package, but must be submitted to DHS by June 30, 2008.

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SECTION 2: BACKGROUND (CONTINUED)

Current Regional Planning Effort:

Provide an overview of the site's current regional planning effort, including key gaps.

<< Insert Text Here >>

SECTION 3: HAZARD ANALYSIS/RISK IDENTIFICATION

Purpose: Describe the site's need for improved catastrophic emergency preparedness planning. Explain the all hazards analysis that are specific to the site with a focus on potent catastrophic events, as well as how the risks influenced the site's priorities and planning, and therefore the investment justification.

Scenario(s) Selected (check all that apply):

Indicate which of the National Planning Scenarios, prioritized based on a hazard analysis and risk assessment conducted by the site, will form the basis for determining planning priorities. The 15 scenarios are divided into 8 scenario sets (e.g., Explosives Attack, Biological Attack, and Chemical Attack). If you are selecting more than one scenario, you are highly encouraged to select scenarios from different scenario sets.

Explosives Attack

☐ Bombing Using Improvised Explosive Device

Radiological Attack

☐ Radiological Device Dispersal

Nuclear Attack

☐ Improvised Nuclear Device

Biological Attack

☐ Aerosol Anthrax

☐ Plague

☐ Food Contamination

☐ Foreign Animal Disease

Chemical Attack

☐ Blister Agent

☐ Toxic Industrial Chemicals

☐ Nerve Agent

☐ Chlorine Tank Explosion

Natural Disaster

☐ Major Earthquake

☐ Major Hurricane

Cyber Attack

☐ Cyber Attack

Biological Disease Outbreak

☐ Pandemic Influenza

SECTION 3: HAZARD ANALYSIS/RISK IDENTIFICATION (CONTINUED)**Hazard Analysis Details:**

Describe the region's need for improved catastrophic emergency preparedness planning and its relationship to the priority planning requirements listed on page 4 of the RCPGP Guidance and Application Kit (e.g., integration of prevention and protection activities into regional planning, mass evacuation and sheltering). Focus on one or more of the stated priority planning requirements, or nominate other priorities. Show how hazard mitigation plans and findings from previously conducted threat and/or vulnerability assessments support the selected priorities.

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SECTION 4: CATASTROPHIC PLANNING PROJECT

Purpose: This section is free-form and should provide an overview of the catastrophic planning projects, coordination efforts with State, regional, Tribal and local entities, and a description of how the 25 percent match requirement will be met. Applicants should address the section only once and must include information for all projects proposed. Additional guidance around required content can be found in the “Instructions: Completing an Investment Justification Package” section of this document.

SECTION 5: PROJECT MANAGEMENT

Purpose: This section is free-form and should be used to document and communicate preliminary planning activities for each project. This section should be sub-divided by project, with specific details included under each project sub-section. Additional guidance around required content can be found in the Detailed Template Instructions section of this document.